

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: William R. Hambrecht, et al.

Application No.: 10/632,818

Group No.: 3691

Filed: August 4, 2003

Examiner: Campen, K.

For: Auction System and Method for Pricing and Allocation During Capital Formation

Mail Stop Issue Fee

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

TRANSMITTAL OF PAYMENT OF ISSUE FEE (37 C.F.R. § 1.311)
AND PAYMENT OF PUBLICATION FEE ((37 C.F.R. § 1.211(e))

1. Applicant hereby pays the issue fee for the attached Issue Fee Transmittal PTOL-85.

2. Applicant

- A. Asserted small entity status in this application on August 4, 2003 by payment of the basic filing fee as a small entity. (37 C.F.R. § 1.27(c)(3))

Applicant hereby notifies the Office, in accordance with the requirements of 37 C.F.R. § 1.27(g)(2), that it no longer has status as a small entity.

A "NOTIFICATION OF LOSS OF STATUS AS SMALL ENTITY" signed by an appropriate party as required by 37 C.F.R. § 1.27(g)(2) and § 1.33(b) is attached.

3. Fee (Issue):

Application status is other than a small entity with a utility fee of \$1,510.00.

4. Fees (Publication)

This is an application for a utility patent and:

The publication fee of \$ 300.00 (§ 1.18(d) is being paid herewith.

5. Advance Order of Copies

Number of copies ordered 1 x \$3.00 per copy (37 C.F.R. § 1.19(a)(1))

\$3.00

6. Total Fees Due

The total amount of fees due is:

issue fee	\$1,510.00
publication fee	\$300.00
additional copies	\$3.00
TOTAL FEE(S) DUE	<u>\$1,813.00</u>

7. Assignee's Name and Address To Be Printed On Patent is as follows (37 C.F.R. § 3.81):

Name of Assignee: W. R. Hambrecht + Co., LLC
Residence (City and State or Country): San Francisco, CA
Assignee category or categories (not printed on patent): Corporation or other private group entity

8. Payment of total fee due:

Authorization is hereby made to charge the amount of \$1,813.00 to Deposit Account No. 19-4972.

Charge any additional fees required by this paper or credit any overpayment in the manner authorized above.

Date: August 4, 2009

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